

OSTI R2A2 MAPPING

<i>Roles & Responsibilities</i>	<i>Accountabilities</i> (Internal and External)	<i>Authorities Delegated</i>
		<div>Type</div> <div>From</div>
<p>1. Policy Guidance and Program Management</p> <p>(OSTI manages the DOE-wide Technical Information Management Program, wherein the mission is to collect, preserve, and disseminate the information from DOE's R&D programs to advance science, protect national security, and enhance practical applications of R&D findings. This program is a key component of the R&D cycle and involves program and information managers from all DOE Program Offices, Operations Offices, and Laboratories as well as information inputs from 5,000 R&D grantees.)</p> <ul style="list-style-type: none"> • Establish DOE-wide policy and practices for the effective management of scientific and technical information (STI). • Issue technical information management guidance, through DOE procurement officials and Program Offices, to direct procurement/grantee organizations performing R&D. • Define and maintain information standards and data fields for STI electronic records and full-text documents. • Conduct assessments/evaluations on the performance of DOE programs and sites in the management of STI. • Exchange policy and standards information with other federal science agencies in Washington, D.C., to promote consistency across the government. • Coordinate, promulgate, and implement STI policy and practices in the specialized field of classified information. • Prepare management responses to recurring and ad hoc Departmental and external inquiries related to technical information management. • Represent the United States and DOE in two major international exchange agreements. • Serve as the Operating Agent to the International Energy Agency's Energy Technology Data Exchange. • Negotiate other international agreements to obtain information of interest to DOE. 	<p>OSTI reports to:</p> <ul style="list-style-type: none"> - HQ/Office of Science - Associate Director, SC-30 - DOE's Annual Performance Report (R&D information availability (e.g., 2 million research summaries, 70,000 electronic full-text R&D reports, etc.) and use (e.g., 7 million transactions annually) metrics) - Board of Visitors (independent, external body formed to assess OSTI's performance of core mission/ functions funded by Congress) - Scientific and Technical Information Coordinating Group (HQ Programs funding R&D plus HQ Procurement and General Counsel established to provide high-level input and feedback to implementation of Technical Information Management Program) <p>OSTI provides services or support to:</p> <ul style="list-style-type: none"> - DOE researchers, program managers, librarians, public scientific community (quality of support measured by user feedback and product usage statistics) - All DOE Program Offices (cost-reimbursable projects) - DOE Chief Financial Officer (R&D Tracking System fulfilling President's OSTP requirements; 10,000 records from 34 DOE sites) - National Nuclear Security Administration (NNSA) (preservation of classified information repository) - Other federal science agencies (for e-government collaborations and other STI policy/procedure development) <p>OSTI complies with laws and agreements/MOUs involving:</p> <ul style="list-style-type: none"> - U.S. Department of State (for international obligations) - International Energy Agency (for Energy Technology Data Exchange Agreement; 55,000 foreign research summaries obtained annually) - International Atomic Energy Agency (for International Nuclear Information System Agreement; 25,000 foreign research summaries obtained annually) - Department of Defense (to fulfill classified information exchange agreement) - Government Printing Office (to fulfill laws for public availability of agency information) 	<p>Federal Laws/Regulations:</p> <ul style="list-style-type: none"> • Atomic Energy Act of 1946 (P.L. 79-585) (facilitate the transfer of STI) • Atomic Energy Act of 1954 (P.L. 83-703) (provide program for the dissemination of unclassified STI (42 USC 2161(b)) • Energy Reorganization Act of 1974 (P.L. 93-438) (disseminate scientific, technical, and practical information) (42 USC 5813, 5817) • Department of Energy Organization Act of 1977 (P.L. 95-91) (maintain a central source of information (42 USC 7112, 5916)) • American Technology Pre-eminence Act of 1991 (P.L. 102-245) (transfer agency STIE to NTIS) • Paperwork Reduction Act of 1995 (P.L. 104-13) (44 USC Sec. 3501) • Public Printing and Documents, Title 44 United States Code (44 USC Sec. 3506) (provide public access to agency information through GPO) • Management of Government Information, OMB Circular Number A-130. • Electronic Freedom of Information Act Amendments of 1996 (P.L. 104-231) (5 USC 552)Federal Information Resources Management Regulation (41 CFR Chap 201). • Federal Acquisition Regulation (FAR), (48 CFR 935.010) (R&D contracts; technical reports) • Rights in Data, FAR (52 CFR 227-14). • FINANCIAL ASSISTANCE RULES (10 CFR 600) • Arms Export Control Act (P. L. 94-329) (22 USC 2751 et seq.) <p>Congress (Public Law), President (Executive Order), OMB (circular), Secretary of Energy (directive), CFR, DOE Directive, Other agency regulation, International agreements, Memoranda of Agreement/ Understanding with other agencies</p>
<p>What Does this organization do for the department? Is it in <i>direct or indirect</i> support of Departmental missions?</p>	<p>To whom is this organization accountable? How is accountability assured? External Review</p>	<p>What authorities are vested in the organization that allow these responsibilities to be carried out? Appraisal?</p> <p>TYPES of DELEGATIONS: Letter from DOE/HQ (i.e., Secretary, Deputy Secretary, Assistant Secretary, etc.); Federal Law; DOE Directives; Interagency Agreements Include implied Authorities</p>

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<i>Roles & Responsibilities</i>
<p>2. Information Collection and Organization (Based on DOE-wide policy and interagency and international agreements, OSTI collects and organizes information emanating from R&D in order to build and maintain a searchable repository not available from any other source.)</p> <ul style="list-style-type: none"> • Establish and maintain a Department-wide mechanism for announcing or submitting to OSTI all useful forms of STI resulting from DOE-funded R&D, including technical reports, conference papers, journal citations, and software. • Harvest and organize electronic technical reports and other STI contract deliverables from DOE-funded R&D grants and other procurements awarded annually. • Create a fully-searchable electronic summary record of each report in accordance with Dublin Core standards and incorporate into large scale databases. • Sort and separate any sensitive unclassified information from non-sensitive (publicly-releasable) information and apply access restriction codings as needed. • Create hyperlinks from searchable bibliographic records to full-text R&D reports. • Identify and collect journal literature, conference reports, preprints, and software meeting the definition of STI that are not readily available from another source. • Collect and organize classified technical reports. • Perform abstracting and indexing services on classified documents and create a complete, computerized searchable bibliographic record. • Receive, manage, process, and control international citations received from three major multilateral information exchange agreements. • Collect electronic records from 34 DOE and contractor sites to populate DOE's R&D Tracking Database and comply with the President's OSTP requirements.

What Does this organization do for the department?
Is it in *direct* or *indirect* support of Departmental missions?

<i>Accountabilities</i> (Internal and External)
<p>OSTI complies with laws and agreements/MOUs involving (cont'd):</p> <ul style="list-style-type: none"> - National Technical Information Service (Department of Commerce) (to fulfill compliance with American Technology Pre-eminence Act) - National Archives and Records Administration (for preservation of DOE's 1.2 million document STI collection) - Federal, state, city ES&H officials (facility compliance)

To whom is this organization accountable?
How is accountability assured? External Review

<i>Authorities Delegated</i>	
<i>Type</i>	<i>From</i>
<ul style="list-style-type: none"> • Export Administration Act of 1979 (P.L. 96-72)(50 USC 2401). • Nuclear Non-proliferation Act of 1978 (P.L. 95-242). • Assistance to Foreign Atomic Energy Activities (10 CFR 810) (export control of certain technology). • Freedom of Information Act of 1974 (P.L. 89-487, as amended by Public Law 93-502 (5 U.S.C. 552) • U.S. Patent Law (35 USC 205). • Identification and Protection of Unclassified Controlled Nuclear Information (10 CFR 1017). <p>International agreements:</p> <ul style="list-style-type: none"> • International Nuclear Information System (1969) (US representative in multi-national information exchange) • Nuclear Energy Agency Organization for Economic Cooperation and Development (software exchange). • Energy Technology Data Exchange Implementing Agreement <p>Interagency agreements:</p> <ul style="list-style-type: none"> • Interagency Agreement between the Government Printing Office and the U.S. Department of Energy (in effect since 1980s; latest document for 10/1/97 to 9/30/02) • Memorandum of Understanding between U.S. Department of Energy and the Department of Commerce Regarding Technical Information Products and Services (named OSTI as the NTIS affiliate for DOE) 	

What authorities are vested in the organization that allows these responsibilities to be carried out?
Appraisal?

TYPES of DELEGATIONS:
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<i>Roles & Responsibilities</i>
<p>3. Information Preservation and Repository (Once information has been organized into searchable collections, OSTI fulfills DOE's statutory responsibility to preserve its current and legacy information, including both classified and unclassified information.)</p> <ul style="list-style-type: none"> • Provide a secure and accessible electronic and physical repository of DOE's historic and current R&D information, classified and unclassified. • Represent OSTI in DOE/NNSA weapons complex information management fora, including defining repository standards, access rules, etc. • Coordinate/provide a Department-wide "repository of last resort" function to ensure permanent access to STI that is no longer being maintained by other DOE facilities, such as close-out sites. <p>4. Information Dissemination (The results of DOE's R&D programs are valuable only if they are widely shared and available to scientists; OSTI's web-based dissemination systems provide the means for accessible R&D findings and include access limitations as appropriate.)</p> <ul style="list-style-type: none"> • Maintain dynamic, large, web-based, searchable bibliographic and full-text databases containing DOE and international R&D information. • Maintain and manage electronic deliverable accountability for DOE R&D projects via the R&D Tracking Database and submit contents to the President's Office of Science and Technology Policy. • Maintain mechanisms for increasing visibility of DOE's science contributions. • Produce and maintain web-based systems to satisfy international information exchange agreements. • Exchange information with other federal agencies to provide public versions of web-based products. • Manage exchange of classified information with DOD and DOE requesters.

What Does this organization do for the department?
Is it in *direct or indirect* support of Departmental missions?

<i>Accountabilities</i> (Internal and External)

To whom is this organization accountable?
How is accountability assured? External Review

<i>Authorities Delegated</i>	
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<p>Executive orders:</p> <ul style="list-style-type: none"> • Executive Order 12598, "Classified National Security Information," (4-20-95) <p>DOE directives:</p> <ul style="list-style-type: none"> • DOE O 241.1A, Management of Scientific and Technical Information • DOE M 471.2-1C, Classified Matter Protection and Control Manual, dated 4-17-01. • DOE O 471.1A, Identification and Protection of Unclassified Controlled Nuclear Information, dated 6-30-00. • DOE M 471.1-1, Identification and Protection of Unclassified Controlled Nuclear Information, dated 6-30-00. • DOE M 471.2-1C, Classified Matter Protection And Control Manual, dated 4-17-01. • DOE M 475.1-1A, Identifying Classified Information, dated 5-8-98. • DOE M 483.1-1, DOE Cooperative Research and Developments Agreements manual, dated 01/12/2001. • DOE O 200.1, Information Management Program, dated 9-30-96. • DOE O 412.1, Work Authorization System, dated 4-20-99. • DOE O 471.2A, Information Security Program, dated 3-27-97. [DOE N 251.40, dated 5-3-01, extends this directive until 12-31-01.] • DOE O 5610.2, Control of Weapon Data, dated 8-1-80 • DOE O 551.1A, Official Foreign Travel, dated 8-25-00. • DOE orders on computer security. 	

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<p>5. Specialized Information Products (Cost Reimbursable) (As a result of information expertise used in performing a Department-wide information management program, OSTI is frequently asked to provide specialized systems for individual entities' unique needs (e.g., subject-specific databases, alert services, etc.).)</p> <ul style="list-style-type: none"> Develop and maintain customized information systems, tools, and publications for individual DOE program offices, other agencies, and international organizations. <p>6. Infrastructure (OSTI maintains a technical and physical infrastructure to support the core roles defined above.)</p> <ul style="list-style-type: none"> Maintain technology architecture to support large web-based systems, high user traffic, and appropriate cybersecurity measures. Provide off-site backup/storage of all data. Perform accounting transactions not provided by Oak Ridge Financial Services Center (e.g., cost recovery accounting, pre-payment transactions). Formulate OSTI's corporate, OMB, and Presidential budget requests. Serve as Contracting Officer's Representative on OSTI support services contracts. Procure goods and services under \$100,000; submit larger procurements to ORO. Manage a DOE-owned facility, including ES&H and security functions. 		<p>Other:</p> <ul style="list-style-type: none"> DOE Acquisition Regulation (DEAR), Part 935.010, STI reporting for R&D contracts DOE Research and Development Records Retention Schedule N1-434-96-9 – with NARA Guidelines on Export Control and Nonproliferation - issued by the DOE Director of the Office of Nonproliferation and National Security, July 1999 Guidance on Handling Applied Technology (AT) Information – memorandum to OSTI from the DOE Office of Nuclear Energy Science and Technology, January 2000 	
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